| Form PTO<br>LIST O | 1449 U<br>F REFEI                | J.S. Dept. of C<br>RENCES CI | Commerce<br>TED BY API                        | PLICANT   |  | Atty Docket No. 7                                  |                 | Serial No.:    |               |  |
|--------------------|----------------------------------|------------------------------|---|---|--|--|-----------------|----------------|---------------|--|
|                    |                                  |                              |   |   |  | Applicant: Bosco P. Ho, et al.                     |                 |                |               |  |
|                    |                                  |                              |   |   |  | Filing Date: No 2003                               | vember 25,      | Group:         |               |  |
|                    |                                  |                              |   |   | U. S. PATENTS I  | DOCUMENTS  |                 |                |               |  |
| Exam.              |                                  | Document No.                 |   | Date  | Name   |  | Class           | Sub-Class      | Filing date   |  |
| Init.              |                                  |                              |   |   |  |  |                 |                |               |  |
| St                 | AA                               | 4,783,314                    |   | 11/08/88  | Hoots, et al.  |  |                 |                |               |  |
| 1                  | AB                               | 4,992,380                    |   | 02/12/91  | Moriarty, et al  | Moriarty, et al.                                   |                 |                |               |  |
|                    | AC                               | 5,041,386                    |   | 08/20/91  | Pierce, et al.   | Pierce, et al.                                     |                 |                |               |  |
|                    | AD                               | 5,320,967<br>5,416,323       |   | 06/14/94  | Avallone, et al  | Avallone, et at.  Hoots, et al.                    |                 |                |               |  |
|                    | AE                               |                              |   | 05/16/95  | 5 Hoots, et al.  |  |                 |                |               |  |
|                    | AF                               | 5,714,387                    |   | 02/03/98  | Fowee, et al.  | Fowee, et al.                                      |                 |                |               |  |
| 1                  | AG                               | 6,329,165                    |   | 12/11/01  | Chattoraj, et a  | l.   |                 |                |               |  |
|                    | АН                               | -                            |   |   |  |  |                 |                |               |  |
|                    | AI                               |                              |   |   |  |  |                 |                |               |  |
|                    | AJ                               |                              |   |   |  |  |                 |                |               |  |
|                    | AK                               | <u> </u>                     |   |   |  |  |                 |                |               |  |
|                    |                                  |                              |   |   | FOREIGN PATENT I   | OCUMENTS   |                 |                |               |  |
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| lnit.              |                                  |                              |   |   |  |  |                 | Class          |               |  |
|                    |                                  |                              | JP 10-282410                                  |   |  |  |                 |                |               |  |
| #7                 | AL                               | JP 10-282                    | 410   | 4/18/00   | Japan (Complete E  | English Translation)                               |                 |                |               |  |
| #7                 | AL<br>AM                         | JP 10-2824                   | 410   | 4/18/00   | Japan (Complete E  | English Translation)                               |                 |                |               |  |
| #7                 |                                  | JP 10-2824                   | 410   | 4/18/00   | Japan (Complete E  | English Translation)                               |                 |                |               |  |
| #                  | AM                               | JP 10-2824                   |   |   |  |  |                 |                |               |  |
| AT                 | AM<br>AŅ                         | JP 10-2824                   |   |   |  | English Translation)  Title, Date, Pertinent Pag   | es, Etc.)       |                |               |  |
|                    | AM<br>AŅ                         | JP 10-282-                   | OTHE<br>Ridgeway,                             | R PRIOR A   | RT (Including Author,                                    |  |                 | ment Membra    | ne Processes, |  |
| #1                 | AM<br>AŅ<br>AO                   | JP 10-282-                   | OTHE<br>Ridgeway,                             | R PRIOR A   | RT (Including Author,                                    | Title, Date, Pertinent Pag                         |                 | ment Membra    | ne Processes, |  |
| ##                 | AM<br>AN<br>AO                   |                              | OTHE<br>Ridgeway,<br>McGraw H                 | R PRIOR A<br>H. F., Ph. I<br>ill, 1996, p                               | RT (Including Author, D. and H. Flemming p. 6.1 to 6.62. | Title, Date, Pertinent Pag<br>"Membrane Biofouling | g", Water Treat |                |               |  |
| ##<br>##<br>##     | AM<br>AŅ<br>AO                   |                              | OTHE<br>Ridgeway,<br>McGraw H                 | R PRIOR A<br>H. F., Ph. I<br>ill, 1996, p                               | RT (Including Author, D. and H. Flemming p. 6.1 to 6.62. | Title, Date, Pertinent Pag<br>"Membrane Biofouling | g", Water Treat | ıka, Minnesota |               |  |
|                    | AM<br>AN<br>AO                   |                              | OTHE Ridgeway, McGraw H Osmonics, Corporate I | R PRIOR A<br>H. F., Ph. I<br>ill, 1996, p                               | RT (Including Author, D. and H. Flemming p. 6.1 to 6.62. | Title, Date, Pertinent Pag<br>"Membrane Biofouling | g", Water Treat | ıka, Minnesota |               |  |
|                    | AM<br>AN<br>AO<br>AP             |                              | OTHE<br>Ridgeway,<br>McGraw H                 | R PRIOR A H. F., Ph. I ill, 1996, p The Filtrati                        | RT (Including Author, D. and H. Flemming p. 6.1 to 6.62. | Title, Date, Pertinent Pag<br>"Membrane Biofouling | g", Water Treat | ıka, Minnesota |               |  |
|                    | AM<br>AN<br>AO<br>AP             |                              | OTHE Ridgeway, McGraw H Osmonics, Corporate I | R PRIOR A H. F., Ph. I ill, 1996, p The Filtrati                        | RT (Including Author, D. and H. Flemming p. 6.1 to 6.62. | Title, Date, Pertinent Pag<br>"Membrane Biofouling | g", Water Treat | ıka, Minnesota |               |  |
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|                    | AM AN AO AR AS AT                |                              | OTHE Ridgeway, McGraw H Osmonics, Corporate I | R PRIOR A<br>H. F., Ph. I<br>ill, 1996, p<br>The Filtrati<br>Headquarte | RT (Including Author, D. and H. Flemming p. 6.1 to 6.62. | Title, Date, Pertinent Pag<br>"Membrane Biofouling | g", Water Treat | ıka, Minnesota |               |  |

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| Form PTO 14 7 U.S. Dept. of Commerce  LIST OF SEFERENCES CITED BY APPLICANT P |   |                        |         |   |                  |                   |                      | Atty Docket No.: 7             | 7593 COI      | Serial No.: 10/721,667 |             |  |
|---|---|------------------------|---------|---|------------------|-------------------|----------------------|--------------------------------|---------------|------------------------|-------------|--|
| نر  |   |                        |         |   | 10.              |                   |                      | Applicant: Bosco P. Ho, et al. |               |                        |             |  |
| •   |   |                        |         |   | MAR 1 8 2004 (5) |                   | m e                  | Filing Date: November 25, 2003 |               | Group:                 |             |  |
| <u> </u>  |   |                        |         |   | · E              | Ū                 | . PATENTS DO         | TUMENTS                        |               |                        |             |  |
| Exam.   |   | Document No.           |         | Date  |                  | Name              |                      | Class                          | Sub-Class     | Filing date            |             |  |
| Init.   |   |                        |         |   |                  |                   |                      |                                |               |                        |             |  |
| 83  | AA  | 4,783,314              |         | 11/08/88  |                  | Hoots, et al.     |                      |                                |               |                        |             |  |
|   | AB  | 4,992,380              |         | 02/12/91  |                  | Moriarty, et al.  |                      |                                |               | <u> </u>               |             |  |
|   | AC  | 5,041,386              |         | 08/20/91  |                  | Pierce, et al.    |                      |                                | ļ             |                        |             |  |
|   | AD  | 5,320,967              |         | 06/14/94  |                  | Avallone, et at.  |                      |                                |               |                        |             |  |
|   | AE  | 5,416,323              |         | 05/16/95  |                  | Hoots, et al.     |                      |                                |               |                        |             |  |
|   | AF  | 5,714,387              |         | 02/03/98  |                  | Fowee, et al.     |                      |                                |               |                        |             |  |
| $\overline{V}$  | AG  | 6,329,165              |         | 12/11/01  |                  | Chattoraj, et al. |                      |                                |               |                        |             |  |
|   | AH  |                        |         |   |                  |                   |                      |                                |               |                        |             |  |
|   | AI  |                        |         |   |                  | -                 |                      |                                |               |                        |             |  |
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| lnit.   |   |                        |         |   |                  |                   |                      |                                | Class         |                        |             |  |
| 11  | AL  | JP 10-282410           |         | 4/18/00 Japan (Complete En  |                  | oan (Complete Eng | lish Translation)    |                                |               |                        |             |  |
| 11 2 X 2 11   | AM  |                        |         |   |                  |                   |                      |                                |               |                        |             |  |
|   | AN  |                        |         |   |                  |                   |                      |                                |               |                        |             |  |
|   | AO  |                        |         |   |                  |                   |                      |                                |               |                        |             |  |
|   |   |                        |         | OTHE  | R PRIOR A        | RT (I             | Including Author, Ti | tle, Date, Pertinent Page      | es, Etc.)     |                        |             |  |
| st  | AP  | P Ridgeway<br>McGraw I |         | y, H. F., Ph. D. and H. Flemming, "Membrane Biofouling", Water Treatment Membrane Processes, Hill, 1996, pp. 6.1 to 6.62. |                  |                   |                      |                                |               |                        |             |  |
|   | 1.5   |                        |         |   |                  |                   |                      |                                |               |                        |             |  |
| Af  | A A Q Osmonics, The Filtration Spectrum, Copyright 1998 |                        |         |   |                  |                   |                      |                                |               | -                      | , USA       |  |
| 3,  | <del>  :-</del>   | · -                    |         | Corporate Headquarters, 5951 Clearwater Drive, Minnetonka, Minnesota 55343-8995 USA                                       |                  |                   |                      |                                |               |                        |             |  |
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